

091-222666

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OMB APPROVAL	
OMB Number:	3235-0504
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2017 APR -3 PM 3: 35  
UNITED STATES  
SECURITIES AND EXCHANGE COMMISSION  
Washington, D.C. 20549

SEC / TM

**FORM 19b-4(e)**

Information Required of a Self-Regulatory Organization Listing and Trading a New  
Derivative Securities Product Pursuant to Rule 19b-4(e) Under the Securities Exchange Act of 1934

READ ALL INSTRUCTIONS PRIOR TO COMPLETING FORM

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APR 03 2017

**Part I**

**Initial Listing Report**

- Name of Self-Regulatory Organization Listing New Derivative Securities Product:  
Chicago Stock Exchange, Inc.
- Type of Issuer of New Derivative Securities Product (e.g., clearinghouse, broker-dealer, corporation, etc.):  
Trust
- Class of New Derivative Securities Product:  
Ownership of the Trust
- Name of Underlying Instrument:  
CWA Income ETF
- If Underlying Instrument is an Index, State Whether it is Broad-Based or Narrow-Based:  
Narrow-Based
- Ticker Symbol(s) of New Derivative Securities Product:  
CWAI
- Market or Markets Upon Which Securities Comprising Underlying Instrument Trades:  
Various
- Settlement Methodology of New Derivative Securities Product:  
See Prospectus
- Position Limits of New Derivative Securities Product (if applicable):  
See Prospectus



17002528

**Part II**

**Execution**

The undersigned represents that the governing body of the above-referenced Self-Regulatory Organization has duly approved, or has duly delegated its approval to the undersigned for, the listing and trading of the above-referenced new derivative securities product according to its relevant trading rules, procedures, surveillance programs and listing standards.

Name of Official Responsible for Form:

Michael J. Cardin

Title:

Director  
Member Regulation Department

Telephone Number:

312-663-2204

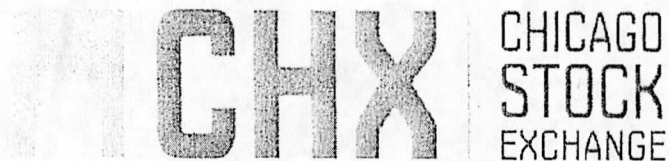
Manual Signature of Official Responsible for Form:

*Michael J. Cardin*

Date:

March 31, 2017

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)



SEC  
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Washington DC  
412

March 31, 2017

**By UPS**

Claudette Ransom  
Division of Trading and Markets  
Securities and Exchange Commission  
100 F Street NE – Stop 7010  
Washington, DC 20549

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SEC / TM

**Re: Form 19b-4(e) for exchange traded product**

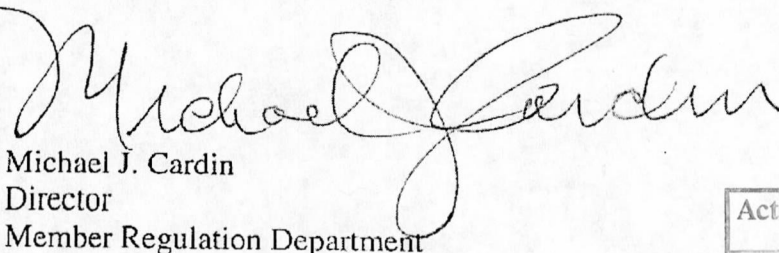
Dear Ms. Ransom:

Pursuant to Rule 19b-4(e) of the Securities Exchange Act of 1934, I enclose for filing an original and four copies of the Form 19b-4(e) relating to the following exchange traded product:

CWAI	CWA Income ETF
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If you have any questions about this filing, please contact the undersigned at (312) 663-2204 or Kevin Curtin at (312) 663-2252.

Sincerely,



Michael J. Cardin  
Director  
Member Regulation Department

Enclosures

Act	Securities Exchange Act of 1934
Section	19b-4
Rule	19b-4(e)
Public Availability:	APR 03 2017